

**OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO)
FY 2006 HUMAN CAPITAL MANAGEMENT PLAN**

Executive Summary: The Chief Information Officer (CIO) for the Department of Energy is responsible for the design, implementation, and continuing successful operation(s) of Information Technology (IT) programs and initiatives throughout the Department and its offices. The OCIO is currently undergoing a comprehensive restructuring to consolidate inherently governmental IT functions and to implement the provisions of the IT Competitive Sourcing decision to produce efficiencies and improve IT services across the Department.

The OCIO Human Capital Management Plan has been designed to support the mission of the OCIO. Significant progress in the full range of initiatives in human capital management improvement has been made, and the OCIO has aligned human capital management to the mission of the organization. Skills needs assessments of the current workforce have been conducted, and key competencies for development to accomplish OCIO and DOE Strategic Plan goals and objectives through appropriate training, mentoring, and developmental assignments have been identified to the extent possible pending implementation of the reorganization. Recruitment actions for FY 06 have been limited to critical positions pending the restructuring of the OCIO. Given a high number of eligible retirees in the next several years, succession planning is underway through the utilization of Career Development Programs to ensure employees are better positioned to transition into leadership positions and through initiatives that maximize the use of corporate knowledge management. From an enterprise perspective, qualification of IT Project Managers identified in the Capital Planning and Investment Control process on Exhibit 300s is an ongoing initiative to ensure that employees managing multi-million dollar projects have the necessary skills to manage projects on cost, on schedule, and within performance targets. Performance plans for Senior Executive Service members and managers are linked to the DOE mission and cascaded down throughout the workforce. Formal recognition of outstanding performance is recognized through the use of monetary awards for performance, special act awards, quality step increases, and other innovative awards, including time-off awards and certificates of appreciation. The OCIO continues to support the Departmental initiatives for a flexible workforce.

Efforts are underway to restructure the organization to implement provisions of the Competitive Sourcing decision. In anticipation of the restructuring, the OCIO's strategy to address human capital planning has included planning for buy-outs/early-outs, severance pay, contract termination fees, employee training, and a temporary workforce during the transition. The OCIO plans to continue to build on the foundation already established to make workforce recruitment and retention decisions based on mission needs and customer expectations to close skill gaps in the short-term and long-term in its current and anticipated workforce; to employ a diverse workforce; provide for continuity of leadership through succession planning and professional/career development; continue to develop and foster knowledge management programs to share and transfer institutional knowledge; build a direct line between employee performance expectations and mission accomplishment; and utilize the current administrative tools and flexibilities in combination with innovative strategies to maximize return on investment.

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Business Vision: The CIO Business Vision has identified E-Government as being critical to meeting today's citizen and business expectations for interaction with the government. The CIO vision is to focus on enterprise architecture, IT capital planning and investment control, performance measurement, enterprise data quality improvement, and ensuring that the skills exist within the Department of Energy to leverage IT to better support key business lines. Systems will be accurate and electronic, and will possess the ability to provide real time information on budget, accounting, and performance measures to support managers and decision makers.

OCIO Workforce Plan – FY 2006

Requirements	Results
<p>Integrate HCM Plan into decision-making processes</p> <ul style="list-style-type: none"> Plan linked to DOE mission, strategy, and goals Designates accountable officials 	<p>Executive and supervisory mission-related performance plans have been established that track human capital management activities, accountability for line item projects, and GAO/IG audit activities. Performance plans for all OCIO employees link directly to their respective senior executive core performance elements. (Performance plans developed FY 06 Q1.)</p>
<p>Demonstrate improvement in meeting hiring-time goals</p> <ul style="list-style-type: none"> auditable system for collecting and analyzing hiring data 	<p>OCIO did not recruit for SES positions in FY 05. The average hiring time for GS hires was 36 days in FY 05, which meets the 45-day hiring time goal. As of FY 06 Q4, the average hiring time for hiring two GS employees was 51 days, which is 6 days more than the 45-day goal. This was due to circumstances beyond the OCIO's control (i.e., HR's timely review of candidates' qualifications completed within 37 days). The average hiring time for SES hires in FY 06 was 44 days, which meets the 82-day hiring goal. (Ongoing)</p> <p>Specific Goals:</p> <ul style="list-style-type: none"> Maintain personnel status report of all recruit actions, tracking dates of all phases of the recruitment process from the vacancy closing date to date selection certificates are received in HR; i.e., to determine time spent for subject matter expert (SME) reviews, SES panels, and interviews. (Ongoing) Upon request from HR, provide within 24 hours an SME to review applications. As of FY 06 Q4, there have been two requests from HR for SMEs. (Ongoing)

	<ul style="list-style-type: none"> • Solicit panel members for SES recruitments prior to vacancy closing date so that panel can convene within two weeks of closing date (pending completion of HR's qualification review). In FY 06 Q4, OCIO recruited for three SES positions. On average, panels were scheduled within 17 days from closing date, due to timing of HR's qualification review and panel members' availability. (Ongoing) • Complete selection certificates and return to HR no later than 30 days from receipt, unless circumstances are beyond the OCIO's control; i.e., medical emergencies, etc. As of FY 06 Q4, on average, selection certificates have been returned to HR within 7 days of receipt. (Ongoing)
<p>Significantly reduce skills gaps in mission-critical occupations</p> <ul style="list-style-type: none"> • identify mission-critical skills, needs, number available, and gaps • address certification needs by level for project managers, contract, and information technology managers • develop strategies to create workplace that attracts talent • integrate the results of competitive sourcing and e-Gov 	<ul style="list-style-type: none"> • It remains premature to develop tactical plans against which the OCIO can be held accountable pending implementation of the A-76 decision. In the interim, OCIO has focused on development of Management/Leadership, Contract Management, and IT Project Management Qualification skills for development. Employees identified as CORs and IT Project Managers have the necessary skills to perform their responsibilities. Seven management level positions are currently vacant due to the OCIO imposed hiring freeze coupled with employees taking advantage of the VSIPs (buy-outs) and VERAs (early-outs) offered in FY 05 and FY 06. Management-level positions have been filled through temporary promotions of eligible employees providing the opportunity to develop leadership skills, and through detailing managers into vacant management positions while retaining full responsibilities for their positions of record. The OCIO continues to work with impacted Program Elements to fulfill their obligations in support of the A-76 decision; i.e., funding, FTEs, etc., prior to moving forward with the planned OCIO reorganization and A-76 implementation. The OCIO budget contains a line item for training for OCIO employees (FY 06). Impacted DOE programs will fund potential A-76 transferees through FY 07, and the OCIO will fully fund FTEs beginning in FY 08 through the transfer of programs' funds into the OCIO budget.

	<p>(Ongoing)</p> <ul style="list-style-type: none"> • The OCIO has an active IT Project Management Qualification process and continues to actively work with the Program Elements to ensure that IT Project Managers for all major IT investments as identified on the DOE Budget Exhibit 300s are qualified by the end of each FY. (Ongoing) • A mission critical skills assessment has been conducted for the programs institutionalized in DOE O 413.3 (Program and Project Management for the Acquisition of Capital Assets) that will not be immediately impacted by the implementation of the A-76 Competitive Sourcing Award to procure critical IT services for the Department (i.e., IT Project Management Qualification). (FY 05 Q2) • Conducted a web-based skills assessment of the Departmental federal IT workforce that included self assessment and manager/employer assessment of IT staff. No significant skills gaps were identified that would prohibit the Department from meeting its mission critical functions. Support service contractor personnel are used to supplement the existing skill base in the performance of IT functions. (FY 05 Q4) • OPM/OMB will launch the biennial web-based IT Workforce Capability Assessment survey in FY 06 Q4. The purpose of the survey is to collect data on the competencies and skills of the federal IT community Government wide in support of human capital planning efforts. OCIO will serve as the DOE POC for distribution of the survey. (FY 07 Q1) • Seven employees were detailed from SP to temporarily fill skills gaps in support of the HSPD1-12 initiative (FY 06 Q1/Q2) until such time the OCIO hiring freeze is lifted. • The OCIO has developed and implemented a Student Loan Repayment Program to facilitate recruitment and retention of staff. (Institutionalized FY 04 Q3) • Three managers are enrolled in the Professional Liability Insurance reimbursement. (Ongoing) • The OCIO continues to promote a flexible
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	<p>workforce providing employees opportunities to participate in the flexiplace program and use of alternative work schedules. OCIO currently has 21 employees under Flexiplace Agreements comprising 24% of the workforce; 3 regular, 1 medical, and 17 situational. (Ongoing)</p>
<p>Implement succession strategies</p> <ul style="list-style-type: none"> include executive development programs result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge and employee development efforts 	<ul style="list-style-type: none"> The OCIO has developed and implemented an IT Project Management Qualification process to ensure that project managers for key IT investments as identified on the DOE Budget Exhibit 300s are certified. The IT Project Management Qualification initiative was implemented in accordance with Office of Management and Budget mandates and has been integrated with DOE's Capital Planning Investment Control Program review and oversight activities for all new/future major IT investments. IT staff who do not currently manage IT investments as identified on Budget Exhibit 300s are being given opportunities to develop project management skills to support future investments. (Institutionalized FY 03 Q4/Ongoing) The OCIO encourages employee participation in a variety of DOE developmental training/mentoring programs, both internal and external to the agency, to enhance skill sets and to maximize the use of corporate knowledge. <ul style="list-style-type: none"> One employee (GS-14) is on a 1-year detail to the National Communications System to support the development, implementation, and administration of programs supporting national security and emergency preparedness telecommunications. (FY 05 Q3 through FY 06 Q3) One employee (GS-15) was on a 2-year detail to NNSA subsequent to reassignment to NNSA to assist with developing recommendations for resolving security issues associated with the inappropriate handling of classified removable electronic media. (FY 05 Q2 through FY 06 Q2) One employee was detailed to OMB subsequent to transfer to OMB as a senior policy analyst. (FY 05 Q3 through FY 06 Q2) One employee was detailed to the Treasury Department subsequent to transfer to

	<p>Treasury. (FY 06 Q1/Q2)</p> <ul style="list-style-type: none"> • One employee was detailed from the General Services Administration subsequent to transfer to DOE. (FY 06 Q1-3) • One employee was detailed from the Department of Agriculture Ohio Office subsequent to transfer to DOE and reassignment into a supervisory position. (FY 06 Q1-Q3) • Executive and Career Development Programs continue to be used to the maximum extent of funding availability to ensure employees are better positioned to transition into leadership positions, linking individual development to improved agency performance. (Ongoing) • One GS-15 manager attended the Federal Executive Institute in FY 06 Q1, and one is scheduled to complete the program by FY06 Q4. Pending confirmation of space allocations, three managers will participate in the FY 07 program. (FY 07) • One GS-11 employee participated in the Leadership Transition Program (FY 05 Q3 through FY06 Q3). • One GS-14 employee is participating in the 2005-2006 Excellence in Government Fellows Program. (FY 06 Q1-Q4) • Two employees have been temporarily promoted into GS-15 positions for 120 days, providing opportunities for leadership development (FY06 Q1/Q2).
Link Knowledge Management effort to DOE portal	<p>The OCIO is using the following planned approach to enhance the use of KM within the Department.</p> <ul style="list-style-type: none"> • The OCIO continues to actively work with the Program Elements to ensure that IT Project Managers identified on the DOE Budget Exhibit 300s are qualified (have the necessary skills needed to manage projects on cost, on schedule, and within performance targets) by the end of each FY. (Ongoing) • An OCIO Knowledge Management Policy and Strategic Plan have been drafted that is contingent on establishment of the DOE Corporate Knowledge Management Program. (Draft completed FY 03 Q4) • The OCIO continues to partner with HR to

	<p>address the knowledge management initiative through participation on the DOE Corporate Knowledge Management Working Group. (Ongoing)</p> <ul style="list-style-type: none"> • Mentoring and rotational assignments are utilized to provide on-the-job training to enhance skill sets and to maximize the use of corporate knowledge management. (Ongoing) • Use KM methodologies to capture information from OCIO personnel retiring or leaving the Department. (Institutionalized FY 05 Q2; Ongoing) <ul style="list-style-type: none"> • Exit interviews. • Position folders. • Need for specific debriefings needed. • Close out of records and e-mail. • Need for oral histories identified. • Use KM methodologies and practices in the development of the OCIO residual organization, to identify additional communities of practice, and potential additional opportunities for KM expansion. (FY 05 Q4 through FY 07) • Establish a Taxonomy and Records Disposition Schedule to create the infrastructure for an enterprise-wide e-content/KM system. (FY 06) A taxonomy has been drafted that reflects records series of Departmental disposition schedules. The taxonomy and revised schedules follow DOE Lines of Business and the Business Reference Model. The taxonomy will continue to be refined as the Department's records schedules are revised (according to National Archives and Records Administration's (NARA) flexible guidance). Schedules revisions are expected to be completed in early FY 07, and the taxonomy will be completed within the same timeframe. Schedule approval by NARA will continue throughout FY 07. • Conduct a survey of HQ organizations to identify related IT/records management KM activities/initiatives underway, such as major IT systems on the DOE/FOIA website and identification of information of potential interest to researchers on the Historian website. (FY 07 Q2) The OCIO is collaborating with MA on an enterprise-wide, integrated
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	<p>document and records management system (eContent Management System) that covers the full life-cycle of Department documents. (FY 07 Q4) Information of potential interest to researchers on the Historian websites (Current Activities for FY 06):</p> <ul style="list-style-type: none"> • Cold War History • Manhattan Project Preservation Initiative • Manhattan Project Interactive Web Site • Nevada Test Site History • Cold War Preservation Initiative • Executive Order 13287, Preserve America • Declassifying and Transferring Historical Records • Online histories and chronologies • Guide to Researching the Department of Energy's Records • Federal Preservation Officer and historic preservation initiatives • For major IT systems as listed on the CFO's website, OCIO has: <ul style="list-style-type: none"> • Prepared a final draft of proposed schedule for CHRIS. This draft will be distributed for review/comment. • I-MANAGE - Reviewed Exhibit 300s and are in the process of identifying Disposition Authorities for the products produced by the system. (FY 06) • For the major systems listed on the Executive Secretariat's web page, OCIO has reviewed Exhibit 300s for 34 of the systems and are in the process of identifying Disposition Authorities for the products produced from those systems. (FY 06)
<p>Implement strategies to address under-representation of women and minorities in all levels of the workforce</p> <ul style="list-style-type: none"> • particularly in mission-critical occupations and leadership • establish processes to improve and sustain diversity 	<p>The OCIO continues to address diversity initiatives; however, such outreach efforts continue to be limited to a large extent due to limited recruitment actions to fill mission critical positions and the OCIO imposed hiring freeze pending restructuring of the OCIO and implementation of the A-76 decision.</p> <ul style="list-style-type: none"> • Four female employees, of which two are minority, were transferred from other Federal positions into OCIO positions ranging from GS-13 to GS-15 levels. (FY 06 Q4) • One female employee was hired through the Merit Promotion process into a GS-13/14

	<p>career-ladder position. (FY 06 Q3)</p> <ul style="list-style-type: none"> • One female employee was hired through the Merit Promotion process into a GS-11 position. (FY 06 Q4) • One minority male employee was promoted into an SES position. (FY 06 Q4) • One minority female employee was promoted into a GS-14 position. (FY 06 Q2) • Three female employees, of which one is a minority, were promoted within their career-ladder positions. (FY 06 Q3/4) <p>Although the OCIO population has decreased by 17% since FY 02, its diversity status has remained constant since FY 02 as follows:</p> <ul style="list-style-type: none"> • Black females from 15% to 15% • Black males from 7% to 9% (an increase of 2%) • Hispanic males from 2% to 0% (a decrease of 2%) • The overall female population has increased by 9% based on the total population from FY 02 (104) to FY 06 Q4 (86).
<p>Analyze and optimize organizational structures for service and cost</p> <ul style="list-style-type: none"> • use redeployment and de-layering as necessary • integrate competitive sourcing and e-Gov solutions • put processes in place to address future needs for change 	<p>Efforts remain underway to restructure the OCIO organization to implement provisions of the IT Services A-76 decision awarded in July 2005 whereby DOE-wide IT services will be performed by the OCIO federal employees in partnership with a contractor workforce. (FY 05 Q4 through FY 07)</p> <p>The following initiatives remain in place and have contributed significantly to negate the need for a RIF (reduction in force), as well as maximize the effectiveness and efficiency of the organization:</p> <ul style="list-style-type: none"> • A hiring freeze on recruitment actions was implemented in FY 05 Q4, and remains in effect limited to identified critical positions with priority consideration given to qualified internal OCIO candidates. • OMB and OPM authority has been obtained to offer VERAs and VSIPs through FY 06 to specific series and grade levels within those series. (FY 05 and FY 06) <ul style="list-style-type: none"> • Ten employees have taken advantage of the VERAs/VSIPs in FY 06 resulting in an estimated savings of \$479,955. (FY 06 Q4) • ES-340-00 – CIO (one) and ACIO

	<p>(three)</p> <ul style="list-style-type: none"> • GS-343-12 – Management Analyst (one) • GS-343-13 -- Management Analyst (one) • GS-2210-14 – IT Specialist (one) • GS-2210-15 – IT Specialist (three) • One GS-343-12 Management Analyst position and two GS-2210 IT Specialist positions (one GS-14 and one GS-15) were eliminated upon their retirement from DOE. (FY 06 Q1) • One Schedule C position was eliminated upon resignation from DOE. (FY 06 Q1) • One GS-2210-14 IT Specialist and one GS-343-12 Management Analyst have been redeployed within the OCIO to support enterprise-wide e-Gov initiatives. (FY 06 Q1)
<p>Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the workforce</p> <ul style="list-style-type: none"> • differentiate between various levels of performance • provide consequences based on performance 	<p>The DOE Employee Performance Management System, the DOE Performance Management System for Managers and Supervisors, and the DOE Senior Executive Service Performance Management System are used to guide rating officials in assessing performance. These performance systems also provide criteria for award incentives that are based upon the differentiation between high and low performance.</p> <ul style="list-style-type: none"> • Senior executives' performance is differentiated into four levels of ratings (Outstanding, Meets Expectations, Needs Improvement, and Unacceptable). • Managers/supervisors' performance is differentiated into four levels of ratings (Significantly Exceeds Expectations, Meets Expectations, Needs Improvement, and Fails to Meet Expectations). • Employees' performance is differentiated by numeric ratings, with 4.0 being the highest rating. <p>OCIO follows established Departmental guidance to address employee performance issues when needed. Managers/supervisors are encouraged to keep their employees apprised of their performance on an ongoing basis through their daily interactions and performance progress reviews to provide guidance and assistance for</p>

	<p>improvement.</p> <p>Performance Plans:</p> <ul style="list-style-type: none"> • 100% of performance plans for the SES and supervisory positions are linked to the DOE mission. (FY 06 Q1) • 100% of the current workforce are under performance plans that are linked to the OCIO mission and objectives, and are tied directly to the FY 06 Congressional budget, FY 07 OMB Budget, and/or the PMA initiatives as referenced in the FY 06 Mission Objectives Performance Management Tracking Report for OCIO to formally document individual responsibility and accountability for mission-related accomplishments. (FY 06 Q1) <p>All employees (including GS employees, supervisors/managers, and executives) are eligible to receive bonuses based on their performance ratings. Performance ratings are given annually based on employees' responsibility and accountability for mission-related accomplishments.</p> <ul style="list-style-type: none"> • GS employees receiving a rating of 2.7 or higher are granted performance bonuses that are calculated based on their performance rating, grade, and point value. • Supervisors/managers receiving a Significantly Exceeds rating receive a performance bonus of at least 5% of their base pay. Supervisors/managers receiving a Meets Expectations rating may receive an award, but only at management's discretion. <ul style="list-style-type: none"> • A total of 69 GS employees and supervisors/managers received performance bonuses based on their responsibility and accountability for mission-related accomplishments within FY 05. (FY 06 Q1) • Executives receiving an Outstanding rating must receive a performance bonus of 5%-20% of their base pay. Executives receiving a Meets Expectations rating are eligible to receive a performance bonus of 5%-9% of their base pay, but only at management's discretion. <ul style="list-style-type: none"> • Five executives received performance bonuses for mission-related accomplishments within FY 05. (FY 06 Q2)
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	<ul style="list-style-type: none"> • In lieu of performance awards, Quality Step Increases (QSIs) are offered to employees and supervisors/managers receiving outstanding ratings (QSI recipients and the number of QSIs to be offered are determined by QSI criteria and funds availability). • Nine QSIs were granted based on FY 05 performance. (FY 06 Q1)
<p>Use outcome measures to make HC decisions</p> <ul style="list-style-type: none"> • link HCM Plan to Program Plan(s) and FY 08 Budget 	<p>The OCIO's strategy to address human capital planning pending restructuring of the OCIO organization and implementation of the A-76 decision includes offering buy-outs/early-outs, severance pay, contract termination fees, employee training, and a temporary workforce during the transition, if needed. Human capital planning and workforce budgeting has been accomplished through limiting recruitment actions to critical positions with priority consideration given to qualified internal OCIO candidates for FY 05 and FY 06 and re-deploying current staff into critical vacated positions. A hiring freeze on recruitment actions was implemented in FY 05 Q4 and remains in effect. Estimated savings from employees taking advantage of early-outs/buy-outs in FY 05 was \$200,000 and in FY 06 is anticipated to be \$479,955. The OCIO continues to work with impacted Program Elements to fulfill their obligations in support of the A-76 decision; i.e., funding, FTEs, etc., prior to moving forward with the planned OCIO reorganization and A-76 implementation. Information contained in the Enterprise Architecture Human Capital Model will be used to ensure that programming priorities are appropriately staffed by human resources as the OCIO realigns the organization "post A-76." (Ongoing)</p>